



# **ITGRCBond - Continuous Controls Testing**

## **Step-by-Step Tutorial**

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## About Rsam Tutorials

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The Rsam module step-by-step tutorials are designed to help you learn about a specific Rsam module and to gain basic familiarity with the user interface. The Rsam platform is highly configurable and is capable of handling both simple and comprehensive applications. The step-by-step tutorials and Rsam sandboxes, however, are specifically designed to quickly deliver a user experience without requiring further training. Each step-by-step tutorial walks you through common, out-of-the-box functionality within a given Rsam module, allowing you to get immediate hands-on familiarity with the module.

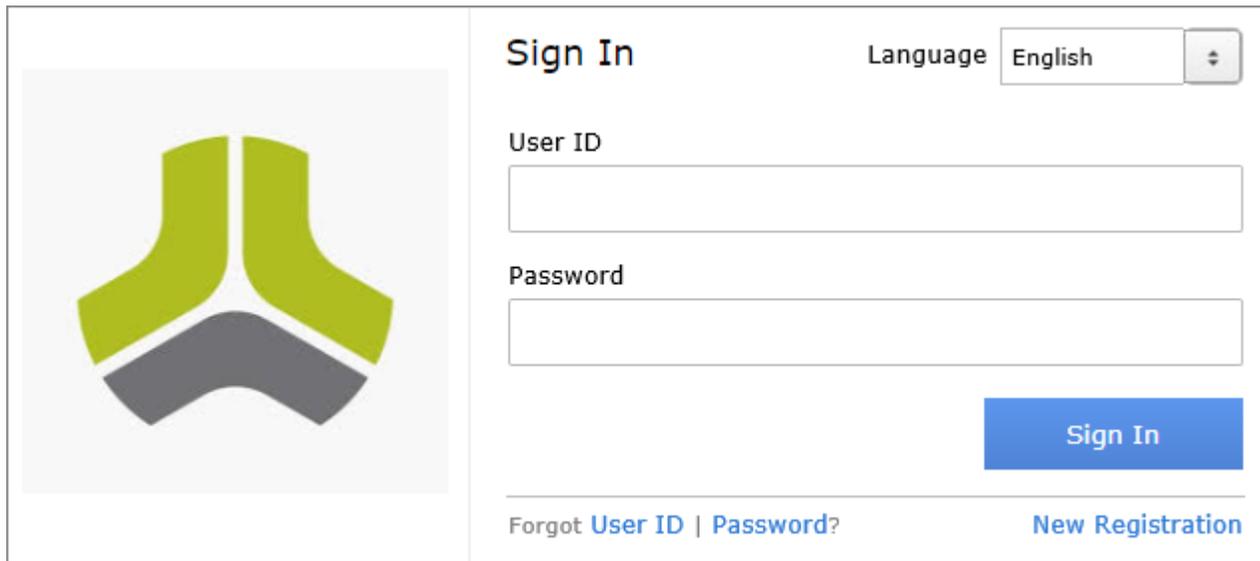
# Rsam Sandbox Environment

Rsam module step-by-step tutorials are designed to work with the out-of-the-box Rsam configuration. You may follow this tutorial using an Rsam Sandbox environment or using your own instance of Rsam that you already own. If you are using this tutorial with an Rsam Sandbox environment, the URL to access your Rsam sandbox is delivered through an email. Otherwise, you may contact your Rsam Administrator for the URL to access your Rsam instance.

If you are using an Rsam sandbox environment, you should have provided Rsam with your organization’s internet facing IP address. To find this information, open a browser and connect to an IP discovery site such as [www.whatismyip.com](http://www.whatismyip.com), or contact your organization’s Network Administrator for assistance. You may also contact your Rsam Customer Representative with any questions.

## Sign-In Page

Tutorials leverage pre-defined accounts that require manual authentication. While your organization may intend to use SSO authentication, Rsam sandbox environments require manual authentication through the Rsam Sign In page so that you can easily toggle between various sample accounts used throughout the tutorial.

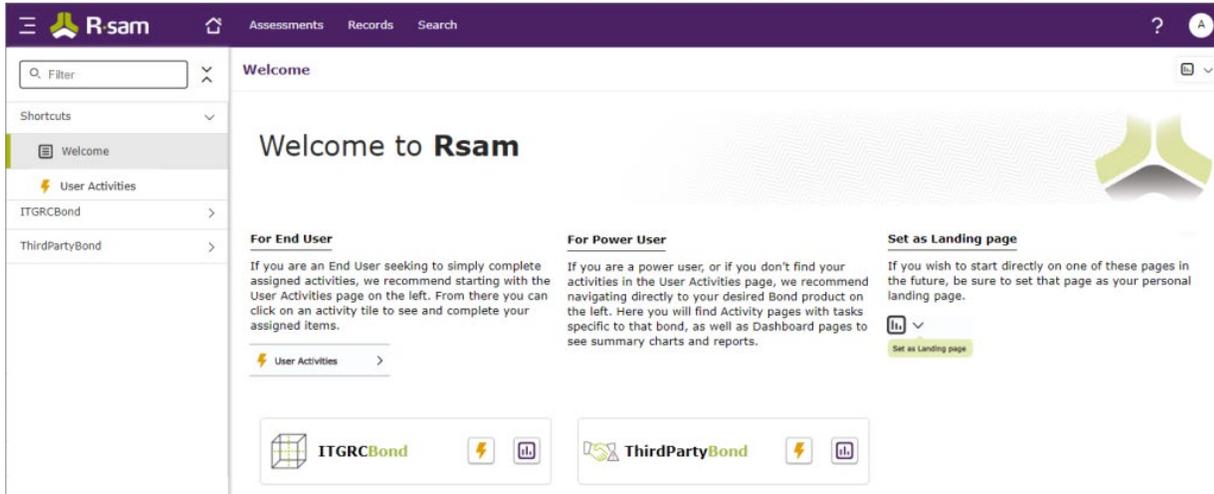


The screenshot shows the Rsam Sign In page. On the left is the Rsam logo, a stylized green and grey shape. On the right, the page is titled "Sign In". There is a "Language" dropdown menu set to "English". Below that are two input fields: "User ID" and "Password". A blue "Sign In" button is positioned below the password field. At the bottom, there are two links: "Forgot User ID | Password?" and "New Registration".

Like most elements in Rsam, the Sign In page can be configured in a number of ways. Different authentication options such as user self-registration, integration with customer user directories (such as Active Directory), or integration with Single Sign-On products, such as Shibboleth, can be applied. You can also embed your own branding and logo on the Sign In page.

# Welcome Page

The Welcome Page is the first page that appears when you log in to Rsam for the first time. This page provides navigation instructions and shortcuts to access the most commonly used pages from the bonds you have access to.

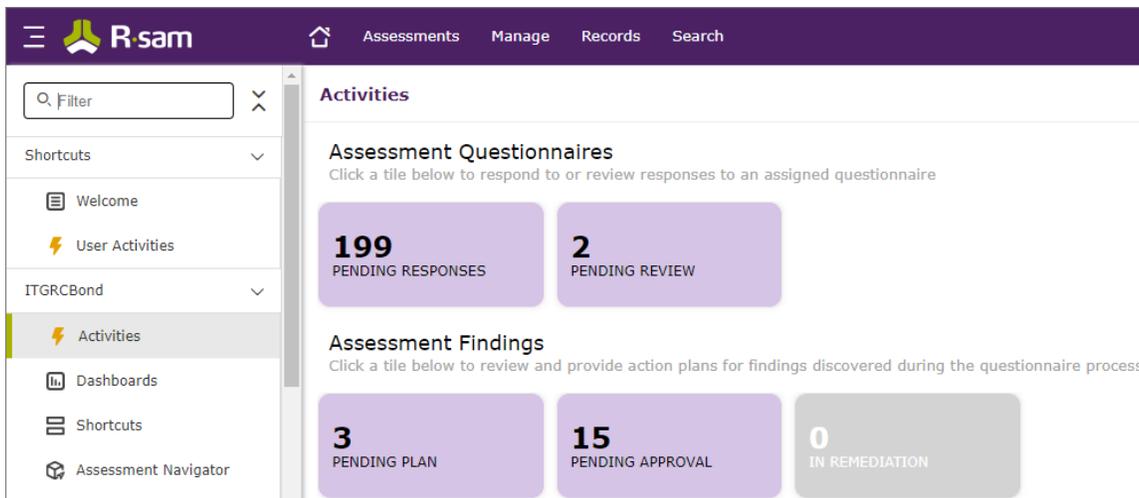


**Note:** The view of the Welcome Page may be different from the one shown in the image, based on the role of the logged in user.

## Navigating to Tasks and Dashboards

If you are an end user and have logged in to complete assigned tasks, you can click  **User Activities** available on the left navigation bar to view the most frequently used Activity Centers *across all bonds assigned for your role*. You can click the relevant activity tile to navigate to your tasks.

If you do not find the required activity tiles, you can either click  corresponding to a bond on the Welcome Page or navigate directly to the bonds from the left navigation bar and select the **Activities** tab to view all related Activity Centers.



Step-by-Step Tutorial

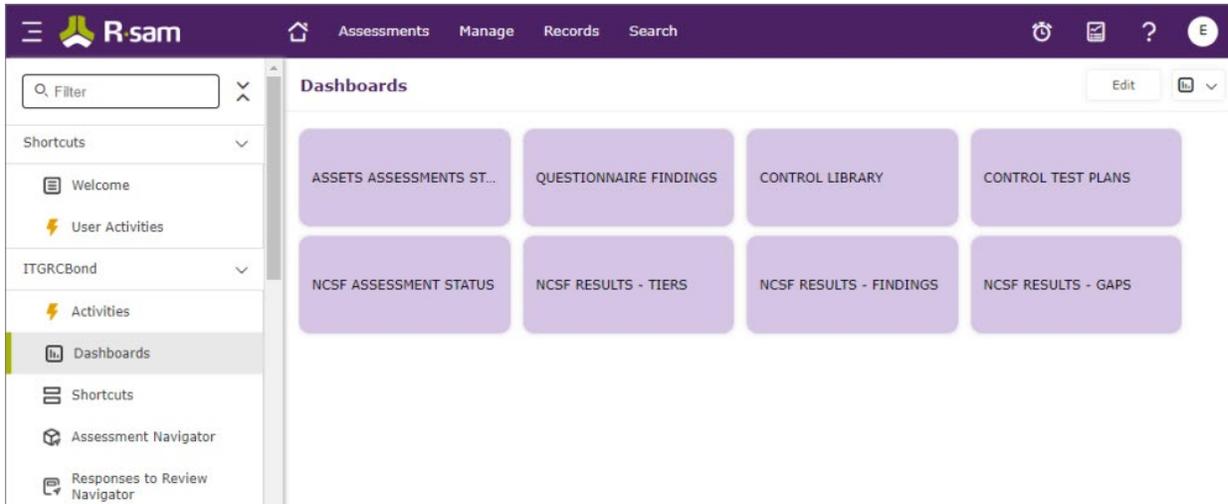
Continuous Controls Testing

## Welcome Page

Click an Activity Center tile to view all related tasks.

Additionally, you can perform the following navigation actions:

- Click  corresponding to a bond on the Welcome page to view all Dashboards configured for the bond.



Alternatively, you can navigate to the required bond from the left navigation bar and select **Dashboards**.

- Click  corresponding to a bond on the Welcome page to view all Dashboards configured for the bond.

Alternatively, you can navigate to the required bond from the left navigation bar and select **Dashboards**.

- Expand the required bond from the left navigation bar and use the pages.

For information on using the home page features and configuring Activity Centers, see the *Rsam Administrator* and *End-User Help*.

# Continuous Controls Testing

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## Overview

Rsam Continuous Control Testing (CCT) Module allows organizations to automate ongoing control monitoring activities mandated by regulatory requirements and standards such as NIST, FISMA, FEDRamp, SOX, PCI, COSO, ISO, NERC, CMS, OCC, and others. Rsam CCT provides a repository for maintaining various libraries of controls and control tests. The module enables federated control testing teams to manage their own unique control test plans, from scoping and documentation to execution and certification.

With automatic reminder and escalation notifications, you'll never miss another deadline, and with the powerful searching and reporting capabilities of Rsam, you'll be able to generate mission critical certification and attestation reports with the click of a button.

## Features and Benefits

The Rsam Continuous Controls Testing module provides the following capabilities and benefits:

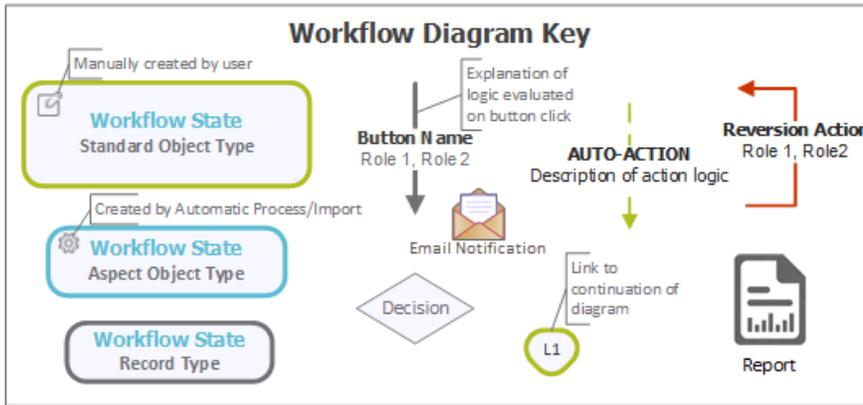
- **Centralized Repository for Controls and Control Tests**  
Maintain a centralized library of controls and control tests to use as a starting point for test plans. Controls and test can be subject to review and approval workflows to ensure that only sanctioned controls are available to test plan managers and their testing teams.
- **Automatic Control Testing Workflow Notifications and Reporting**  
Assignment, reminder, and escalation notifications ensure that testers, reviewers, and attesters stay on top of their activities even in the face of vast sets of control tests with desperate start dates, frequencies, and test durations. Not only are users automatically reminded of pending tasks, but managers can also report on items by their workflow state to ensure that plans are staying on track.
- **Enabling a Federated Approach to Testing Shared Assets**  
Control testing teams can manage their own unique test plans based on their function and responsibilities within the organization. Controls and test plans can be defined for specific assets or organizational entities, and even for multiple teams interacting with those assets. This allows, for example, for the contract team and the IT security team to execute their own distinct test plans in parallel on the same vendor asset.
- **Audit Trail**  
Full audit trail provides easy access to historical control test results and certifications, ensuring that you have access to accurate historical data that reliably reflects the state of affairs on the date it was finalized.
- **Reporting and Dashboarding**  
Rsam reporting allows for blazingly fast creation and sharing of test execution reports for easy certification and attestation, and role-based dashboards provide ongoing visibility into key metrics such as number of tests by owner, asset, organizational segment, etc. providing actionable information for managing the day-to-day execution of test plans, justifying business cases, etc.

## Continuous Controls Testing Workflows

The Continuous Control Testing module is comprised of two high-level work streams: 1) the management of a global library of controls and control tests, and 2) the scoping and execution of specific control test plans against targeted assets or entities. This tutorial document covers only the latter, presuming that your Rsam instance already has library controls and control tests available for use in the test planning and execution work stream.

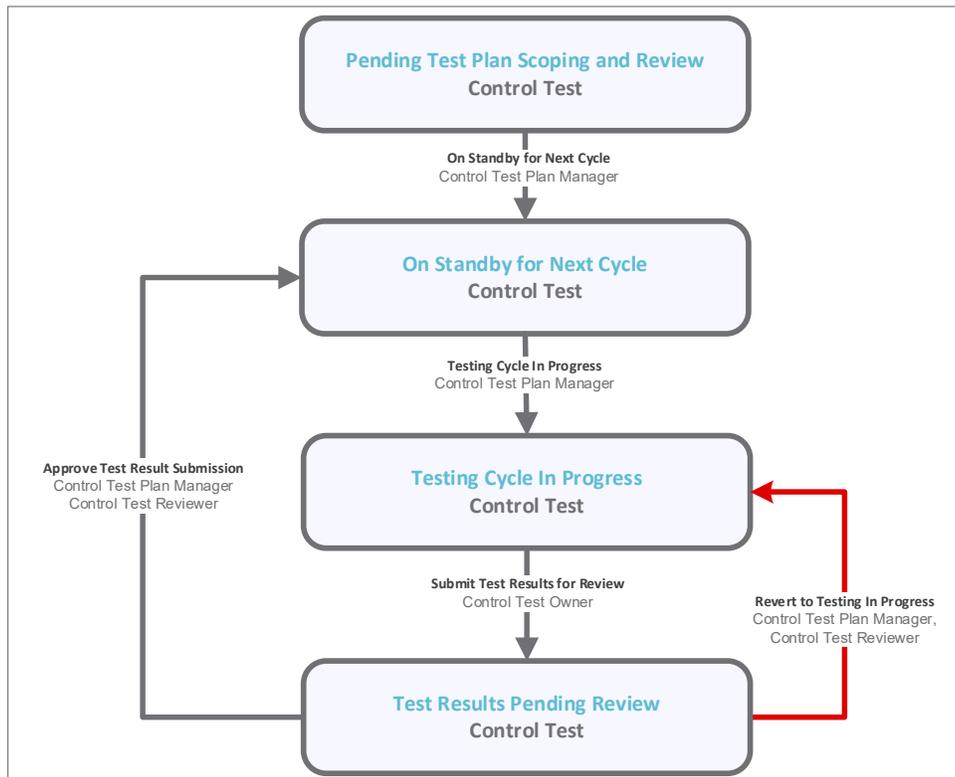
The planning and execution work stream covered in this tutorial can be further divided into two workflows: the management of the plan itself, and the management of individual tests within the plan.

Before proceeding to the specific workflows, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.



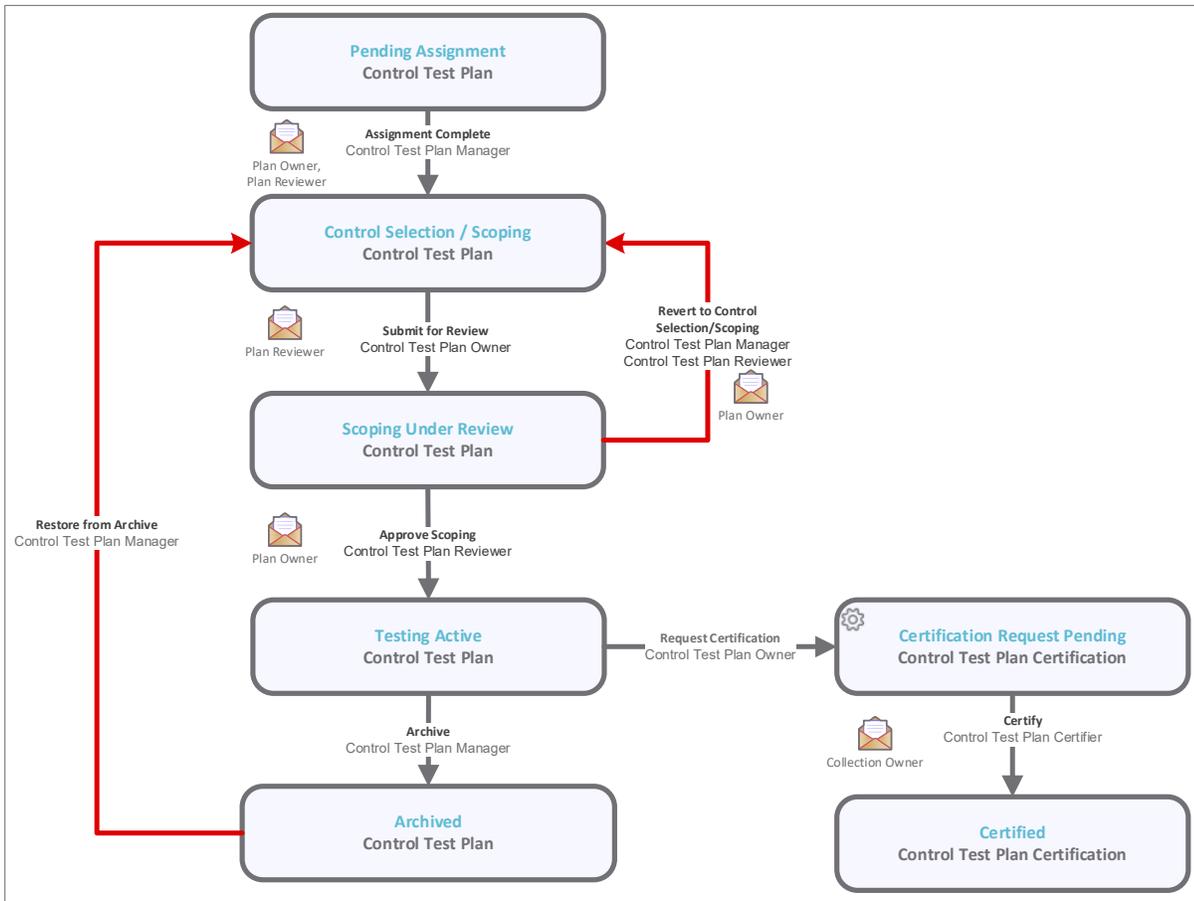
## Control Test Workflow

The following diagram depicts the out-of-the-box Control Test workflow.



## Control Test Plan Workflow

The following diagram depicts the out-of-the-box Control Test Plan workflow.



**Note:** Administrators may create variations to this pre-defined workflow configuration by removing or inserting steps in order to match your specific business processes.

## User Accounts

User accounts are required for the individuals that are authorized to access a specific Rsam baseline module. The Rsam sandbox for Continuous Controls Testing comes with pre-populated sample accounts that include the following:

**Note:** Sample users for each of these roles are optionally provided with the baseline module installation package.

User ID	User	Business Responsibilities
r_control_test_plan_manager	Control Test Plan Manager	This user has the ability to perform all the tasks that can be performed with all the other user accounts.
r_control_test_plan_owner	Control Test Plan Owner	This user is responsible for adding controls from library, generating control tests, and requesting certification for control test plans.

User ID	User	Business Responsibilities
<b>r_control_test_plan_reviewer</b>	Control Test Plan Reviewer	This user is responsible for reviewing and approving control test plans.
<b>r_control_test_plan_certifier</b>	Control Test Plan Certifier	This user is responsible for certifying control test plans.
<b>r_control_test_owner</b>	Control Test Execution Owner	This user is responsible for documenting workpapers and submitting control test results for review.
<b>r_control_test_reviewer</b>	Control Test Execution Reviewer	This user is responsible for approving control test results submission.

Users can contact *Rsam Administrator* to obtain passwords for assigned accounts. Individual users may change their password once authenticated. Users with administrator permissions may also reset the password of other users.

## High-Level Steps

The following is a high-level list of the steps described in this tutorial.

Step	User	Description
<b>Step 1: Creating a Control Test Plan</b>	Control Test Plan Manager	In this step, the <i>Control Test Plan Manager</i> user creates a new control test plan and assigns owners that are responsible for full lifecycle of control test Plan management.
<b>Step 2: Adding Controls and Generating Control Tests in the Control Test Plan</b>	Control Test Plan Owner	In this step, the <i>Control Test Plan Owner</i> user adds controls, generates control tests, and then submits the control test plan for review.
<b>Step 3: Reviewing and Approving the Control Test Plan</b>	Control Test Plan Reviewer	In this step, the <i>Control Test Plan Reviewer</i> user reviews and approves the control test plan.
<b>Step 4: Documenting and Submitting the Control Test Results</b>	Control Test Owner	In this step, the <i>Control Test Owner</i> user documents workpapers and submits the control test results for review.
<b>Step 5: Reviewing and Approving the Control Test Results</b>	Control Test Reviewer	In this step, the <i>Control Test Reviewer</i> user approves the control test results.
<b>Step 6: Requesting Certification for the Control Test Collection</b>	Control Test Plan Owner	In this step, the <i>Control Test Plan Owner</i> user submits the certification request for control test collection.
<b>Step 7: Certifying the Control Test Plan</b>	Control Test Plan Certifier	In this step, the <i>Control Test Plan Certifier</i> user certifies the control test collection.

## Step-by-Step Procedure

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This section contains detailed steps for walking through the control test execution workflow. In this section you will learn how to create a new control test plan, add controls and control tests to the plan, and review and approve the plan. You will also learn how to capture control test results, submit them review, and generate periodic certifications of the test plan.

**Note:** While the Continuous Controls Testing module provides a comprehensive workflow for maintaining a global library of control and control test content, this tutorial walks you only through the creation and execution a control test plan, assuming that sample control testing content is already available in your Rsam environment.

From this point forward, we will provide the steps that are required to complete this tutorial. Before you begin to practice each step, consider following underlying capabilities:

- a. Practicing each step requires a different user account as mentioned in the [High-Level Steps](#) section. However, you may execute all the steps with the Control Test Plan Manager user credentials in one session if desired.
- b. Workflow state transitions involve sending email notifications to users in the workflow. If you want to ensure that your users receive the notifications while practicing the steps, please see the **Setting up Email Addresses** section later in this tutorial.

### Step 1: Creating a Control Test Plan

In this step, you will log in to Rsam as the *Control Test Plan Manager* user to create a new control test plan and assign an owner and reviewer to the plan.

1. Sign in as the *Control Test Plan Manager* user. Enter **Username** as *r\_control\_test\_plan\_manager* and provide the **Password**.
2. From within the navigation panel at the left-hand side, navigate to **ITGRCBond > Assessment Navigator**.  
The assessment navigator appears.
3. Locate the **HR Manager Pro** object.
4. Double-click the **HR Manager Pro** object to open it.  
Alternatively, you can click the  icon in the object row.  
The HR Manager Pro object details appear.

- Under **Findings**, click the **Control Test Execution** link.

**IT Application: HR Manager Pro**

Aspect Parent: HR Manager Pro  
 Entity: Acme Corp.  
 Respondent: Assessment Respondent

Object Workflow State: 6. Finalized  
 Sub Entity: Assessments

Questionnaires

Name	Questionnaire	State
HR Manager Pro	10 of 29 answered	6. Finalized

Findings

[Control Test Execution \(3\)](#)  
[Control Test Execution Archive \(0\)](#)

Status of Findings

No data found for this component for this object

The control test execution records appear.

- Click **Add** and select **Control Test Plan**.

Control Test Execution

Refresh Add Open Delete Assign... Action

Instructions

Record Workflow State	Test Plan Name	Test Plan Description	Plan Owner
4. Testing Active	HRMP Control Test Plan 1	HRMP Control Test Plan 1	Control Test Plan Owner
2. Control Selection / Scoping	HRMP Control Test Plan 2	HRMP Control Test Plan 2	Control Test Plan Owner
3. Scoping Under Review	HRMP Control Test Plan 3	HRMP Control Test Plan 3	Control Test Plan Owner

The **Control Test Plan (new)** record opens with the **Test Plan Summary** tab selected.

- Complete the **Test Plan Name** and **Test Plan Description** attributes.
- Set **Plan Owner** to **Control Test Plan Owner** by using one of the following methods:
  - Type *r\_control\_test\_plan\_owner* in the **Test Plan Owner** attribute. While typing, a list of users that match the string is shown.
  - Select **r\_control\_test\_plan\_owner "Control Test Plan Owner"** from the user list.

Test Plan Summary | Library Controls in Scope | Control Tests | Test Plan Certifications | Discussion / Thread | Workflow History

\* Test Plan Name: HRMP Control Test Plan 4

\* Test Plan Description: HRMP Control Test Plan 4

\* Plan Owner: r\_control

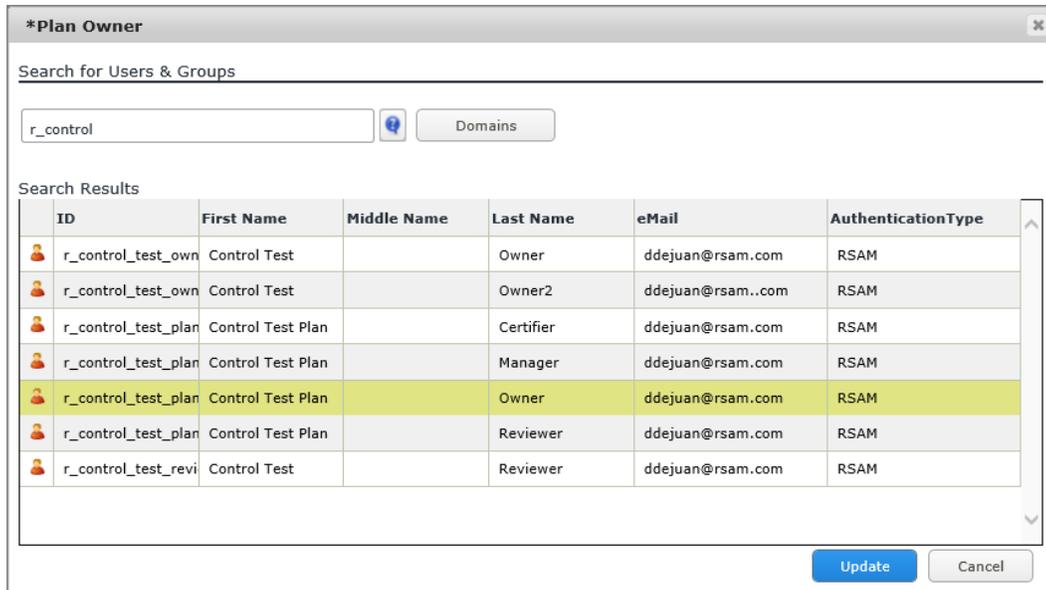
\* Plan Reviewer: \_\_\_\_\_

\* Plan Certifier: \_\_\_\_\_

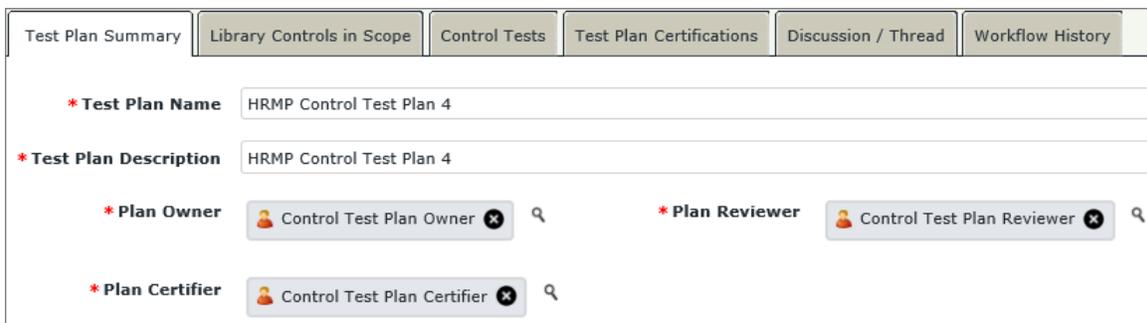
- r\_control\_test\_owner "Control Test Owner" (dilejuan@rsam.com)
- r\_control\_test\_owner2 "Control Test Owner2" (dilejuan@rsam.com)
- r\_control\_test\_plan\_certifier "Control Test Plan Certifier" (dilejuan@rsam.com)
- r\_control\_test\_plan\_manager "Control Test Plan Manager" (dilejuan@rsam.com)
- r\_control\_test\_plan\_owner "Control Test Plan Owner" (dilejuan@rsam.com)**
- r\_control\_test\_plan\_reviewer "Control Test Plan Reviewer" (dilejuan@rsam.com)
- r\_control\_test\_reviewer "Control Test Reviewer" (dilejuan@rsam.com)

**Method II:**

- a. Click the  icon next to the **Plan Owner** attribute.  
The **Plan Owner** dialog appears.
- b. Type *r\_control\_test\_plan\_owner* in the search box.  
The Search Results displays the **r\_control\_test\_plan\_owner** user.
- c. Select the user row and click **Update**.



9. Set the **Plan Reviewer** to **Control Test Plan Reviewer** and **Plan Certifier** to **Control Test Plan Certifier**.

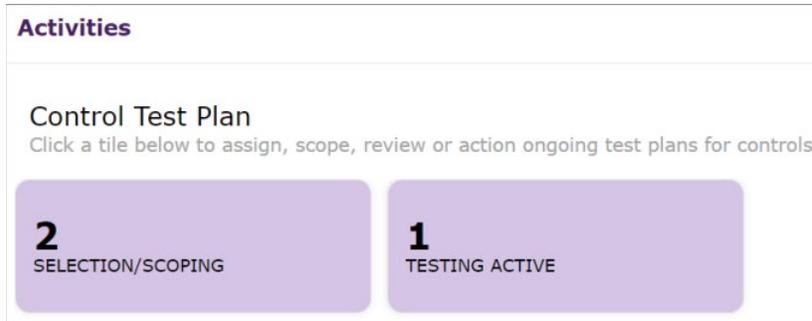


10. Click **Assignment Complete**.
11. In the **Save Changes** dialog that appears, click **Yes**.  
The control test plan record is created.
12. Log out from Rsam.

## Step 2: Adding Controls and Generating Control Tests in the Control Test Plan

In this step, you will log in to Rsam as the *Control Test Plan Owner* user to add controls from the library control, generate control tests, and submit the control test plan for review.

1. Sign in as the *Control Test Plan Owner* user. Enter **Username** as `r_control_test_plan_owner` and provide the **Password**.
2. From within the navigation panel at the left-hand side, navigate to **ITGRCBond > Activities**.

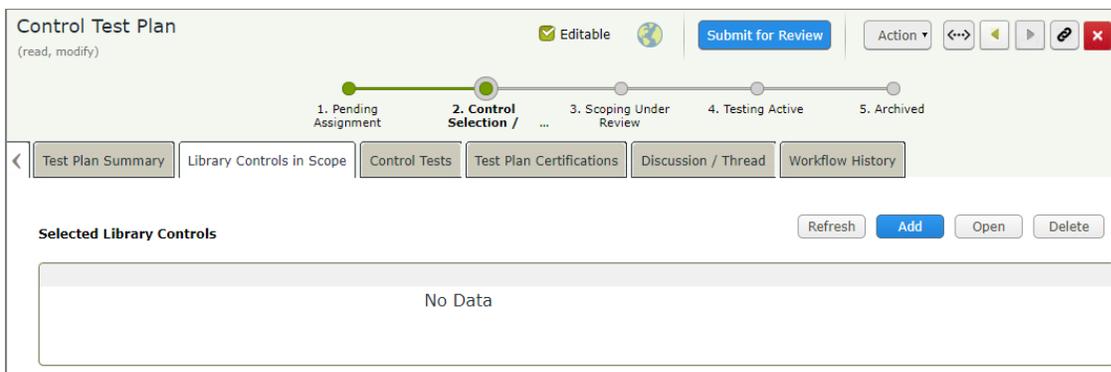


The Activities page appears listing the applicable activity tiles.

3. Click the tile **Selection/Scoping**.  
The tile expands to display the grid listing the records in the **Control Selection / Scoping** state.
4. Locate the control test plan created by the *Control Test Plan Manager* user in [Step 1: Creating a Control Test Plan](#).
5. Double-click the control test plan to open it.  
Alternatively, you can click the  icon in the row.

The **Control Test Plan** record opens with the **Test Plan Summary** tab selected.

6. Click the **Library Controls in Scope** tab.

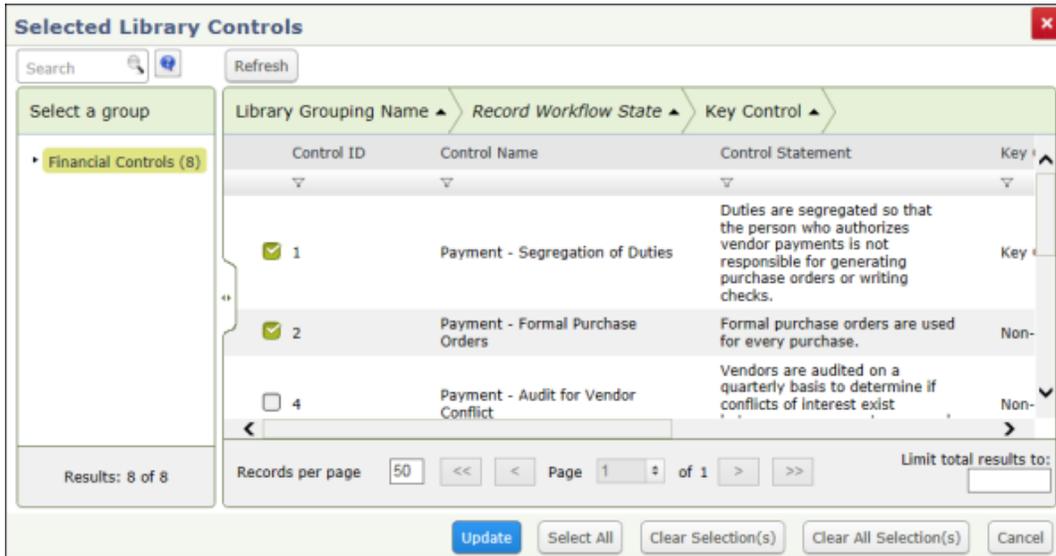


7. Click **Add**.  
The **Selected Library Controls** dialog appears.

8. Select **Financial Controls**.

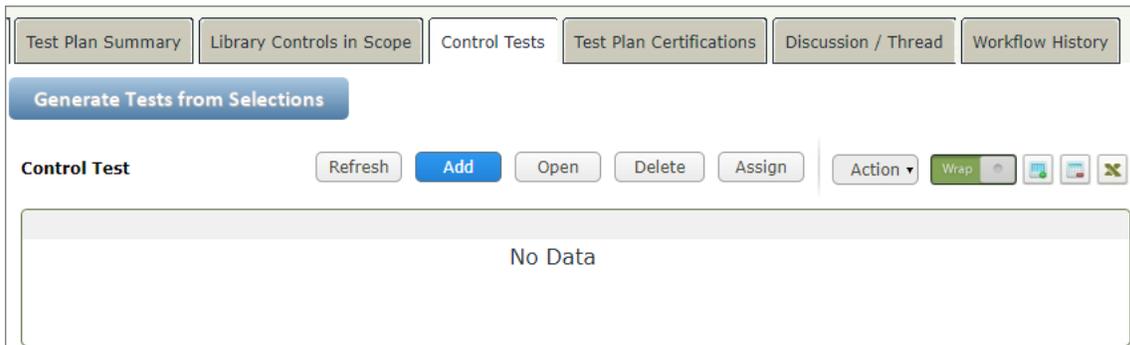
The controls within the **Financial Controls** grouping appear.

9. Select the check boxes corresponding to **Payment - Segregation of Duties** and **Payment - Formal Purchase Orders** controls. It is important that you select these specific controls, as others may not have example tests populated in the library.



10. Click **Update**. The selected controls now appear in the **Selected Library Controls** section.

11. Click the **Control Tests** tab.



12. Click **Generate Tests from Selections**.

13. In the **Save Changes** dialog that appears, click **Yes**.

Three Control Tests are created, each with an initial workflow state of **Pending Test Plan Scoping and Review**. Two of the Control Tests have the **Test Owner** and **Test Reviewer** attributes prefilled with users **Control Test Owner** and **Control Test Reviewer**, respectively, because those attributes are already set in the library record for that control test.

Control Test					
<input type="button" value="Refresh"/> <input type="button" value="Add"/> <input type="button" value="Open"/> <input type="button" value="Delete"/> <input type="button" value="Assign..."/> <input type="button" value="Action"/>					
	Record Workflow State	Control Name	Test Name	Test Owner	Cu
<input type="checkbox"/>	1. Pending Test Plan Scoping and Review	Payment - Formal Purchase Orders	Sample Test 1 for Control: Payment - Formal Purchase Orders		
<input type="checkbox"/>	1. Pending Test Plan Scoping and Review	Payment - Segregation of Duties	Sample Test 1 for Control: Payment - Segregation of Duties	Control Test Owner	
<input type="checkbox"/>	1. Pending Test Plan Scoping and Review	Payment - Segregation of Duties	Sample Test 2 for Control: Payment - Segregation of Duties	Control Test Owner	

- Double -click the test **Payment - Formal Purchase Orders** control. The **Control Test** record opens with the **Control Summary** tab selected.
- Click the **Test Details & Instructions** tab.

Control Test (read, modify, delete)

1. Pending Test Plan Scoping an ... 2. On Standby for Next Cycle 3. Testing Cycle in Progress 4. Test Results Pending Review

Editable

Control Summary | **Test Details & Instructions** | Current Testing Results | Remediation | Test Result History | Discussion / Thread | Workflow History

\* Test Name: Test 1 for Control: Payment - Formal Purchase Orders

Test Owner:  Test Reviewer:

\* Testing Frequency: Semi-Monthly \* Test Duration (days): 4

Current Cycle Start Date:  Next Cycle Start Date:

Test Procedure:

Testing Sample Size:  Evidence Template Attachment(s): [File Attachment\(s\)](#)

Basis for Sample Size:

- Set **Test Owner** to **Control Test Owner**. Type `r_control_test_owner` in the **Test Owner** attribute. From the list that appears, select `r_control_test_owner` "Control Test Owner".
- Set **Test Reviewer** to **Control Test Reviewer**. Type `r_control_test_reviewer` in the **Test Reviewer** attribute. From the list that appears, select `r_control_test_reviewer` "Control Test Reviewer".
- Set the **Next Cycle Start Date** attribute. For this tutorial, we will set this date to one day later than the current date (i.e. tomorrow).
- Click **Save & Close**.

For the remaining two tests (the two for the **Payment - Segregation of Duties** control), we will set the **Next Cycle Start Date** attribute to today's date. Later in the tutorial, we will see how these last two control tests are processed differently from the first control test due to their varying **Next Cycle Start Date** values (i.e. today vs. tomorrow).

- Click **Submit for Review**. The control test plan enters the **Scoping Under Review** state.

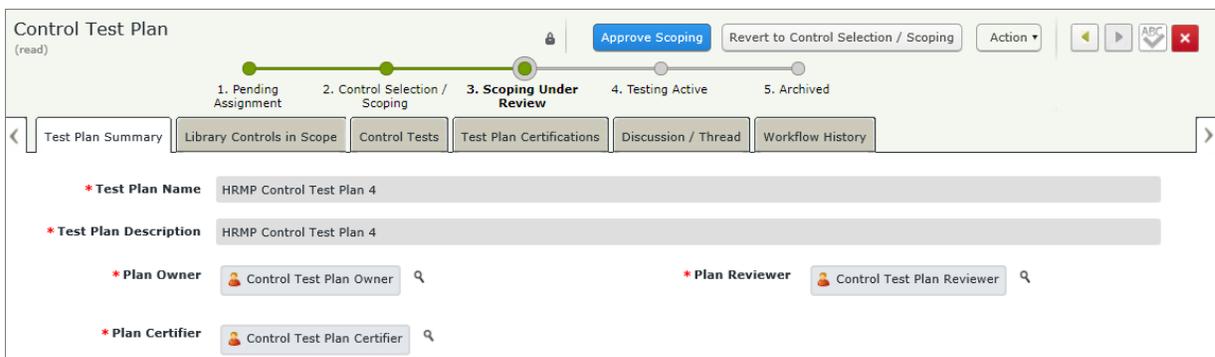
- Log out from Rsam.

## Step 3: Reviewing and Approving the Control Test Plan

In this step, you will log in to Rsam as the *Control Test Plan Reviewer* user to review and approve the control test plan.

1. Sign in as the *Control Test Plan Reviewer* user. Enter **Username** as *r\_control\_test\_plan\_reviewer* and provide the **Password**.
2. From within the navigation panel at the left-hand side, navigate to **ITGRCBond > Activities**. The Activities page appears listing the applicable activity tiles.
3. Click the tile **Under Review**.  
The tile expands to display the grid containing the Control Tests under review.
4. Locate the control test plan you created, which should now be in the **Scoping Under Review** state.
5. Double-click the control test plan to open it.  
Alternatively, you can click the  icon in the row.

The **Control Test Plan** record opens with the **Test Plan Summary** tab selected.



Control Test Plan (read)

1. Pending Assignment 2. Control Selection / Scoping 3. Scoping Under Review 4. Testing Active 5. Archived

Approve Scoping Revert to Control Selection / Scoping Action

Test Plan Summary Library Controls in Scope Control Tests Test Plan Certifications Discussion / Thread Workflow History

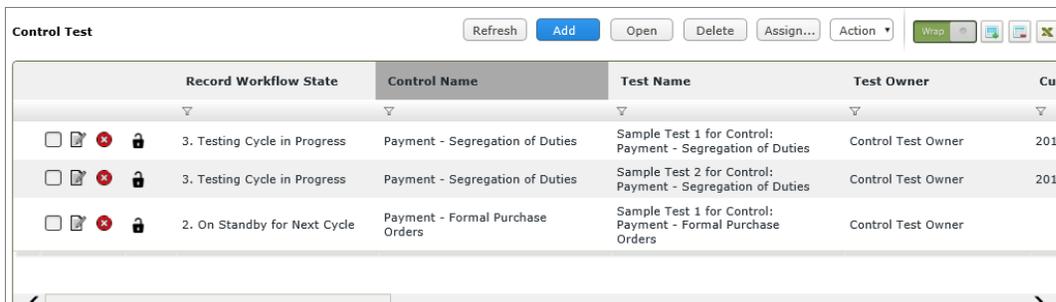
\* Test Plan Name HRMP Control Test Plan 4

\* Test Plan Description HRMP Control Test Plan 4

\* Plan Owner Control Test Plan Owner \* Plan Reviewer Control Test Plan Reviewer

\* Plan Certifier Control Test Plan Certifier

6. Click **Approve Scoping**.  
The control test plan enters the **Testing Active** state.
7. Click on the **Control Tests** tab and note that, due to their varying **Next Cycle Start Date** values, the control test for the **Payment - Formal Purchase of Orders** control has entered the **On Standby for Next Cycle** state, while the 2 tests for the **Payment - Segregation of Duties** control have already advanced to the **Testing Cycle in Progress** state.



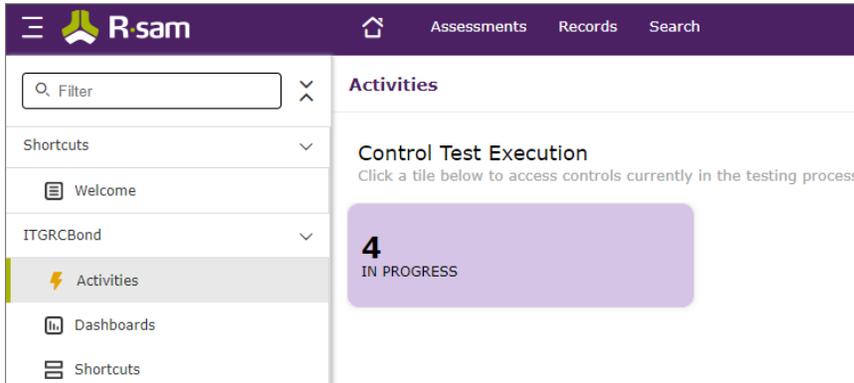
Record Workflow State	Control Name	Test Name	Test Owner	Cur
3. Testing Cycle in Progress	Payment - Segregation of Duties	Sample Test 1 for Control: Payment - Segregation of Duties	Control Test Owner	201
3. Testing Cycle in Progress	Payment - Segregation of Duties	Sample Test 2 for Control: Payment - Segregation of Duties	Control Test Owner	201
2. On Standby for Next Cycle	Payment - Formal Purchase Orders	Sample Test 1 for Control: Payment - Formal Purchase Orders	Control Test Owner	

8. Log out from Rsam.

## Step 4: Documenting and Submitting Control Test Results

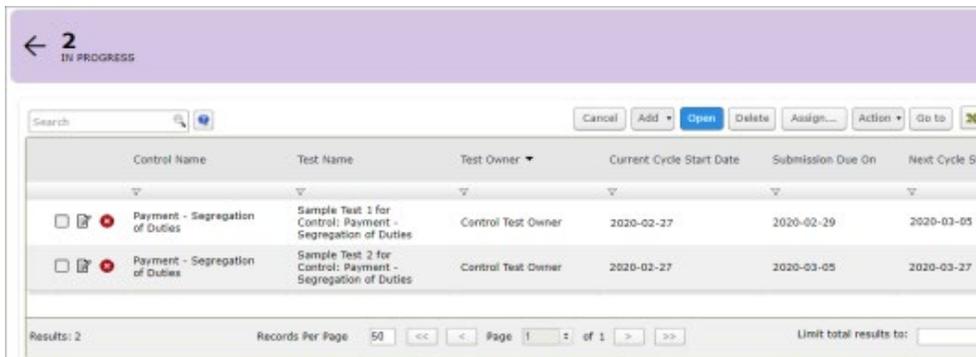
In this step, you will log in to Rsam as the *Control Test Owner* user to document control testing results and submit for review.

1. Sign in as the *Control Test Owner* user. Enter **Username** as *r\_control\_test\_owner* and provide the **Password**.
2. From within the navigation panel at the left-hand side, navigate to **ITGRCBond > Activities**.



The Activities page appears listing the applicable activity tiles.

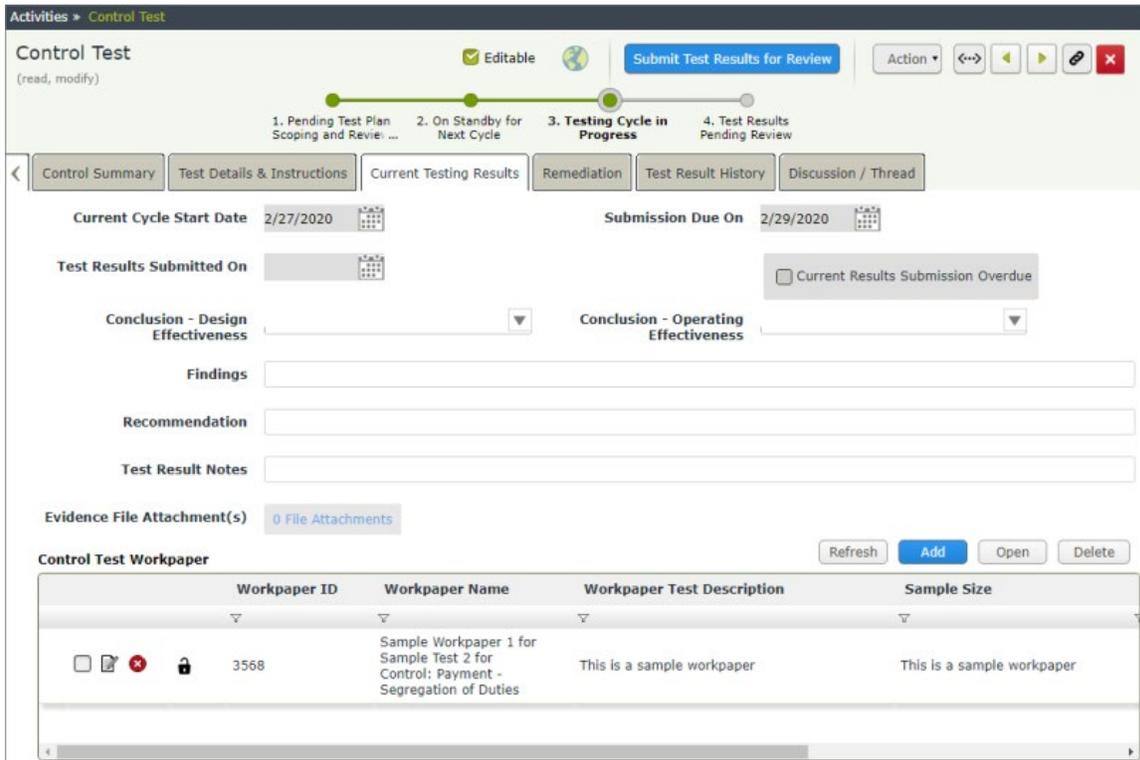
3. Click the tile **In Progress**.  
The tile expands to display the grid.



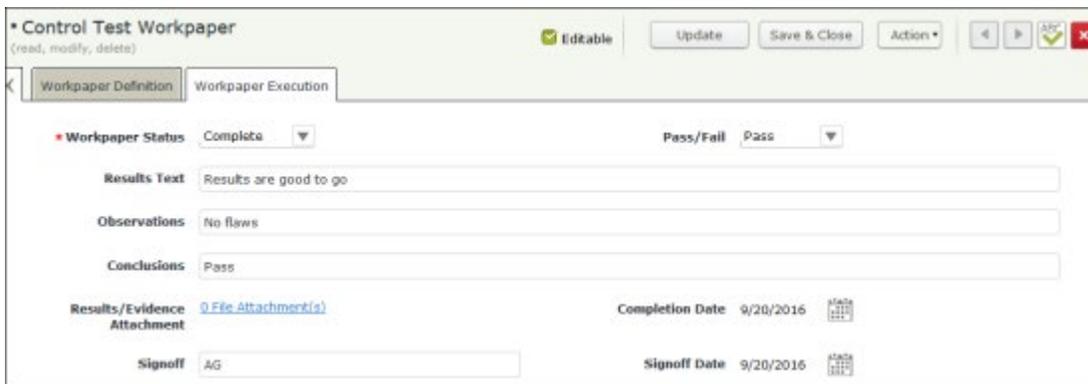
The control test owner home page appears with a list of active control tests assigned to the current *Control Test Owner* user.

4. Locate the control test **Sample Test 2 for Control: Payment - Segregation of Duties**.
5. Double-click the control test to open its details.  
The **Control Test** record opens with the **Control Summary** tab selected.

- Click the **Current Testing Results** tab and complete all the attributes as necessary.



- Under **Control Test Workpaper**, double-click a workpaper. The **Control Test Workpaper** record opens with the **Workpaper Definition** tab selected.
- Click the **Workpaper Execution** tab and complete all the attributes as necessary.



- Click **Save & Close**.
- Click **Submit Test Results for Review**. The control test enters the **Test Results Pending Review** state. The test is submitted for review and no longer appears in the **In Progress** Activity Center grid.
- Log out from Rsam.

## Step 5: Reviewing and Approving the Control Test Results Submission

In this step, you will log in to Rsam as the *Control Test Reviewer* user to review and approve the control test results submission.

1. Sign in as the *Control Test Reviewer* user. Enter **Username** as `r_control_test_reviewer` and provide the **Password**.
2. From within the navigation panel at the left-hand side, navigate to **ITGRCBond > Control Test Plans Navigator**.
3. From within the navigator, with **CON: Control Tests by Test Plans** selected, select **HR Manager Pro**.



4. Locate the recently submitted control test. It should appear in the **Test Results Pending Review** state.

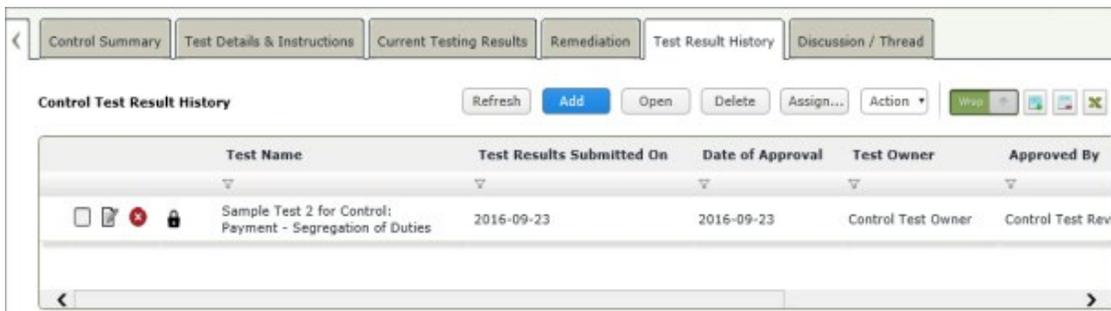
Test Plan Name	Test Name	Record Workflow State	Control ID
HRMP Control Test Execution Collection 1	Test 1 for Control 134.5	2. Active, Pending Next Test Cycle	134.5
HRMP Control Test Execution Collection 1	Test 1 for Control 34.43	4. Test Results Pending Review	34.43
HRMP Control Test Execution Collection 1	Test 1 for Control 1342.145	2. Active, Pending Next Test Cycle	1342.145
HRMP Control Test Execution Collection 3	Test 1 for Control 3421	1. Pending Collection Scoping and Review	3421
HRMP Control Test Execution Collection 3	Test 1 for Control 23.4	1. Pending Collection Scoping and Review	23.4
HRMP Control Test Execution Collection 1	Test 1 for Control 234.4	4. Test Results Pending Review	234.4
HRMP Control Test Execution Collection 1	Test 1 for Control 3454	3. Testing Cycle in Progress	3454
HRMP Control Test Execution Collection 4	Test 1 for Control: Payment - Formal Purchase Orders	2. Active, Pending Next Test Cycle	2
HRMP Control Test Execution Collection 4	Test 2 for Control: Payment - Segregation of Duties	4. Test Results Pending Review	1

5. Double-click the control test to open it.  
The **Control Test** record opens with the **Control Summary** tab selected.

6. Click **Approve Test Result Submission**.



Once approved, the attribute values on the **Current Testing Results** (and its associated workpapers) are copied into a new audit record on the **Test Result History** tab, and the data on the **Control Test Results** tab is cleared in preparation for the next testing cycle.



7. Log out from Rsam.

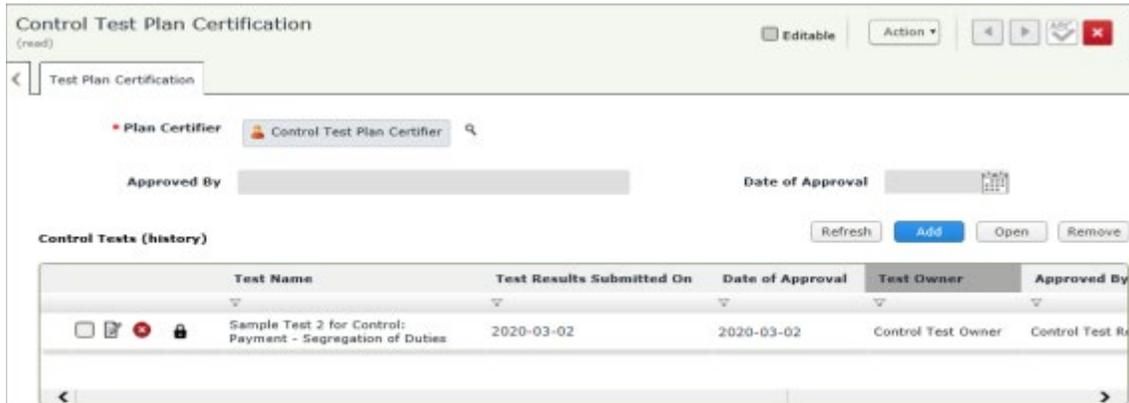
## Step 6: Requesting Certification for the Control Test Plan

In this step, you will log in to Rsam as the *Control Test Plan Owner* user to request certification for the control test plan.

1. Sign in as the *Control Test Plan Owner* user. Enter **Username** as *r\_control\_test\_plan\_owner* and provide the **Password**.
2. From within the navigation panel at the left-hand side, navigate to **ITGRCBond > Activities**. The Activities page appears listing the applicable activity tiles.
3. Click the tile **Testing Active**. The tile expands to display the grid containing the result records.
4. Locate and select the control test plan you have been using throughout this tutorial.
5. Click **Action** and select **Request Certification** from the options that appear.

- In the **Workflow** dialog that appears, enter your comments to explain the reason for requesting the certification, and then click **OK**.

If you open the record, you can see that the certification record is created and appears on the **Test Plan Certifications** tab. The **Test Plan Certification** record is auto-populated with references to the most recent history on each of the control tests associated with the current plan (As we have submitted only one control test in this tutorial, there will be only one history record for the certification).



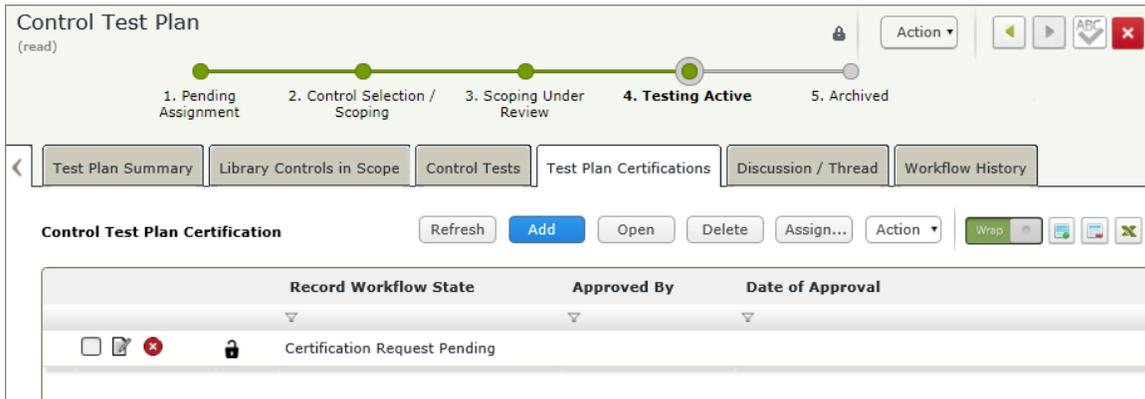
- Log out from Rsam.

## Step 7: Certifying the Control Test Plan

In this step, you will log in to Rsam as the *Control Test Plan Certifier* user to certify the control test plan.

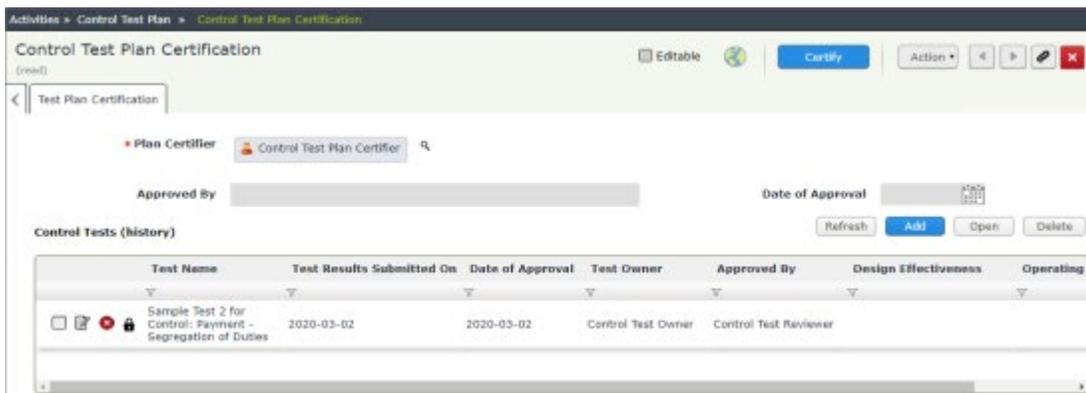
- Sign in as the *Control Test Plan Certifier* user. Enter **Username** as *r\_control\_test\_plan\_certifier* and provide the **Password**.
- From within the navigation panel at the left-hand side, navigate to **ITGRCBond > Activities**. The Activities page appears listing the applicable activity tiles.
- Click the tile **Cert Requests Pending**. The tile expands to display the grid containing the result records.
- Locate and select the control test plan in submitted for certification.
- Double-click the control test plan to open it. The **Control Test Plan** record opens with the **Test Plan Summary** tab selected.

6. Click the **Test Plan Certifications** tab.



7. Double-click the certification record to open it.

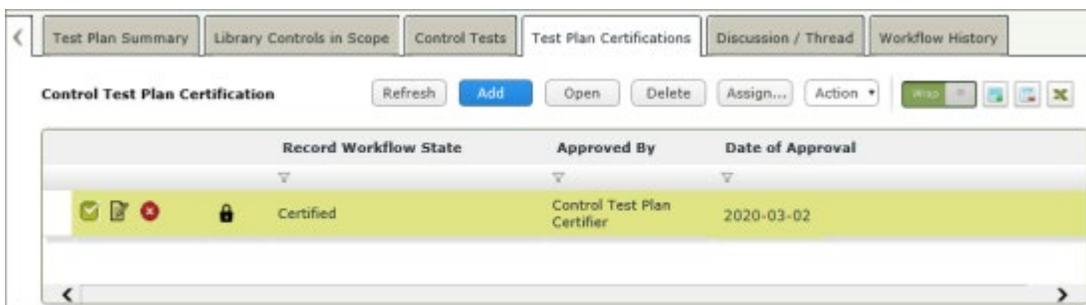
The **Control Test Plan Certification** record opens with the **Test Plan Certification** tab selected.



8. Click **Certify**.

9. In the **Workflow** dialog that appears, enter your comments and click **OK**.

The record moves to the **Certified** workflow state and closes.



The **Control Test Plan Certification** record workflow state is set to **Certified** and the **Approved By** and **Date of Approval** attributes are automatically populated.

# Appendix 1: Email Notifications and Offline Decision Making

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## Setting up Email Addresses

This module is configured to send automated email notifications at specific points in the workflow. In a production system, email addresses are usually gathered automatically using an LDAP server or a directory service. However, the email addresses in your Rsam instance can be manually provided for testing purposes.

To manually provide the email addresses, perform the following steps:

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Continuous Controls Testing module.
2. Sign in as *r\_admin* user. Enter **User ID** as *r\_admin* and provide the **Password**.
3. Navigate to **Manage > Users/Groups**.
4. Double-click a user row to open the details.
5. Provide an email address in the **eMail ID** attribute.

**User Details**

User Id:  
152048

First Name: Middle Name: Last Name:  
May, Brian

eMail ID: Phone Number:  
support@rsam.com

Password:  
.....

Confirm Password:

LDAP User

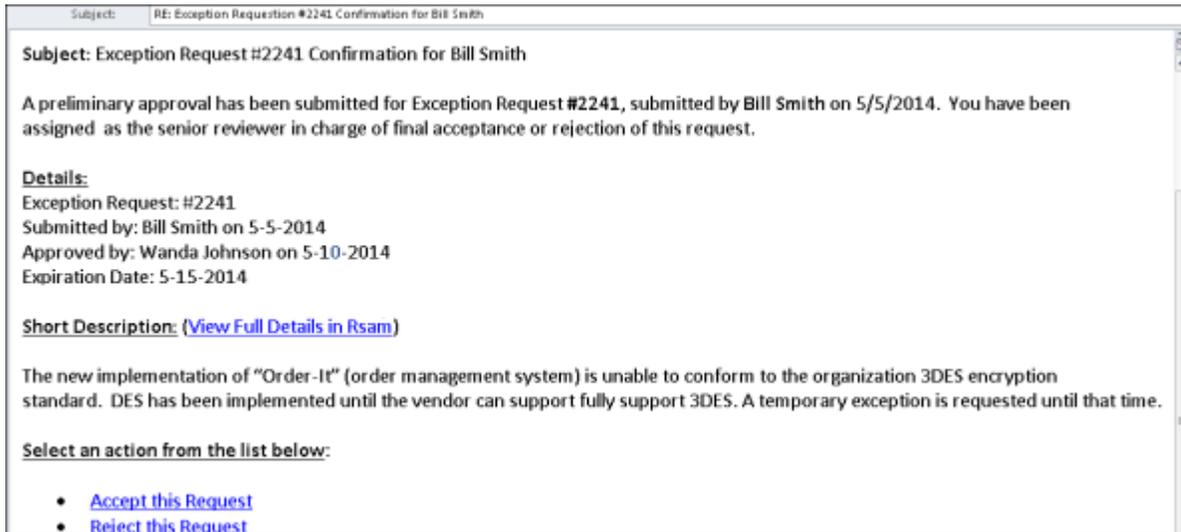
User's LDAP ID:  
User's LDAP Domain:  
Please select a Domain

6. Click **OK**.  
The email address of the user account is saved.

## Offline Decision Making

Rsam email notifications are configurable including what notification should be sent, what users or roles will receive the notifications, and the content in the notifications.

Offline Decision Making is a powerful and popular feature of Rsam. It provides the Rsam platform directly to the users to perform workflow actions without connecting to the Rsam module. The following image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Offline Decision Making actions.



# Appendix 2: Rsam Documentation

## Continuous Controls Testing Baseline Configuration Guide

To learn more about the pre-configurations in the Continuous Controls Testing, refer the *Continuous Controls Testing Baseline Configuration Guide*. You should have received the *Continuous Controls Testing Baseline Configuration Guide* along with the Continuous Controls Testing sandbox. If not, please contact your Rsam Customer Representative to obtain an electronic copy of the *Continuous Controls Testing Baseline Configuration Guide*.

## Online Help

This tutorial provides the step-by-step instructions for the Rsam Continuous Controls Testing module. To get familiar with the specific Rsam features used in this configuration, refer the *Rsam End-User Help*, *Rsam Administrator Help*, or both. The Online help you can access depends on your user permissions.

To access the Online Help, perform the following steps:

1. Sign in to your Rsam instance. For example, sign in as *Example Administrator* user. Provide the **User ID** as *r\_admin* and provide the **Password**.
2. Hover the cursor over **Help** and select an Online help from the menu that appears. Depending on your user permissions, you will be able to access the Rsam End-User Help, Rsam Administrator Help, Step-by-Step Tutorials, or all.

The following image shows the *Rsam Administrator Help*, opened from the *Example Administrator* user account.

